



IFW 1629

Approved for use through 03/31/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/538,126
	Filing Date	June 6, 2005
	First Named Inventor	Shunsuke Kuroiwa
	Art Unit	1624
	Examiner Name	Not yet assigned
Total Number of Pages in This Submission	Attorney Docket Number	442P067

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	-Form PTO-1449
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	-Copy of non US references cited - 2
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	-Copy of European communication dated 7/19/07
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm Name	Nields & Lemack	
Signature		
Printed name	Kevin S. Lemack	
Date	August 17, 2007	Reg. No. 32,579

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:		
Signature		
Typed or printed name	Kevin S. Lemack	Date August 17, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants Shunsuke Kuroiwa et al.

Serial/No. 10/538,126

Filed June 6, 2005

For 3-PHENYL-CINNOLINE ANALOGUE AND ANTITUMOR AGENT USING THE SAME

Examiner : Not yet assigned

Art Unit : 1624

Confirmation No: 2218

Attorney

Docket No. : 442P097

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450
Sir:


INFORMATION DISCLOSURE STATEMENT

The Examiner is respectfully requested to consider the document(s), which is/are listed on the attached form PTO 1449.


The relevance of the reference Chemical Abstract XP002441182 is cited is shown in the attached European communication dated July 19, 2007, which indicates the degree of relevance found by the European Patent Office in a related foreign application.

Copies of the non U.S. Patent listed on the attached form are enclosed herewith.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on August 17, 2007


Signature: Kevin S. Lemack
Date: August 17, 2007

Respectfully submitted,


Kevin S. Lemack
Attorney for Applicants
Registration No. 32,579
Nields & Lemack
176 E. Main Street
Westboro, MA 01581
TEL: 508-898-1818



FORM PTO-1449	ATTY. DOCKET NO. 442P097	SERIAL NO. 10/538,126
	LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	
Shunsuke Kuroiwa et al.		
FILING DATE June 6, 2005		GROUP 1624

REFERENCE DESIGNATION**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA					
	AB					
	AC					
	AD					

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
						YES NO
	BA					
	BB					
	BC					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

/CJ/	CA	Database Caplus - Chemical Abstracts Service, Ramadas, Sukuru Raghu et al.; "Condensed nitrogen heterocycles derived from indan-1, 3-dione" - XP002441182 1984
I	CB	Journal of Medicinal Chemistry, 1976, vol. 19, No. 4; Kuppuswamy Nagarajan et al.; "Central Nervous System Active 5-Oxo-1,4,5,6,7,8-hexahydrocinnolines"; pp. 508-511
/CJ/	CC	Copy of European communication dated 7/19/2007
	CD	

EXAMINER /Cecilia Jaisle/	DATE CONSIDERED 09/21/2007
EXAMINER: Initial reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	